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Atty Docket No. 020425-106510US

PTO FAX NO.: 1-571-273-8300

ATTENTION:

Fee Address Indication

# OFFICIAL COMMUNICATION FOR THE PERSONAL ATTENTION OF FEE ADDRESS INDICATION

#### CERTIFICATION OF FACSIMILE TRANSMISSION

I hereby certify that the following documents in re Application of James Peterson, Application No. 09/654,627, filed September 5, 2000 for SYSTEM AND METHOD FOR TAX SENSITIVE PORTFOLIO OPTIMIZATION are being facsimile transmitted to the Patent and Trademark Office on the date shown below.

#### **Documents Attached**

1. Fee Address Indication Form

2. Power of Attorney

3. Statement Under 37 CFR 3.73(b)

Number of pages being transmitted, including this page: 4

Dated: 1/4/07

Julie Taylor Clough

PLEASE CONFIRM RECEIPT OF THIS PAPER BY RETURN FACSIMILE AT (415) 576-0300

TOWNSEND and TOWNSEND and CREW LLP Two Embarcadero Center, Eighth Floor San Francisco, CA 94111-3834 Telephone: 415-576-0200

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PTO/SB/80 (04-05)

any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 CFR 3.73(b).  Please change the correspondence address for the application identified in the attached statement under 37 CFR 3.73(b) to:    The address associated with Customer Number:   20350	POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO								
Practitioners associated with the Customer Number.   20350			vious powers of attorney g	iven in the applic	cation identified in	the attach	ed sta	tement under	
Practitioner(s) named below (if more than ten patent practitioners are to be named, then a customer number must be used):    Name			•					· · · · · · · · · · · · · · · · · · ·	
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As altomey(s) or agent(s) to represent the undersigned before the United States Patient and Trademark Office (USPTO) in connection with any and all patient applications assigned only to the undersigned according to the USPTO assignment records or assignment documents intended to this form in accordance with 37 CFR 3.73(b).  Please change the correspondence address for the application identified in the attached statement under 37 CFR 3.73(b) to:    The address associated with Customer Number.   20350	٠,٠٠٠	oction (e) marrie	action (in more man can passe	T principle and the	o de vizance, elen e e			<del>,</del>	
as altomay(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with many and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents interested to this form in accordance with 37 CFR 3.73(b) for the address associated with Customer Number:    OR			Name			lame			
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The address associated with Customer Number:  OR  Firm or   Individual Name   Address   City   State   Zip   Country   Telephone   Email    Assignee Name and Address:  Charles Schwab & Co., Inc.   101 Montgomery St.   San Francisco, CA 94104  A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be the practitioners appointed in this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form is the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.  SIGNATURE of Assignee of Record   Cate 12 20 06   Telephone   Light 13 20 06   Telephone   Light 14 20 34 97   Telephone   Light 15 20 34 97   Telephone   Light 16 20 34 97   Telephone   Light 16 20 34 97   Telephone   Light 17 20 06   Telephone   Light 18 20 34 97   Telephone   Light 18 20 3	as attorney(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 CFR 3.73(b).								
Firm or Individual Name Address  City  State  Country  Telephone  Email  Charles Schwab & Co., Inc. 101 Montgomery St. San Francisco, CA 94104  A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be lifed in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of he practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filled.  SIGNATURE of Assignee of Record  The individual whose signature and title is supplied below is authorized to act on behalf of the assignee lignature  Oate 12 20 06  Telephone  Pure Telephone  Oate 12 20 06	Please cha	ange the corresp	ondence address for the applic	ation identified in the	e attached statement	under 37 C	FR 3.73	3(b) to:	
Firm or Individual Name Address  City  Country  Telephone  Charles Schwab & Co., Inc. 101 Montgomery St. San Francisco, CA 94104  A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be lifed in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of he practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filled.  SIGNATURE of Assignee of Record  The individual whose signature and title is supplied below is authorized to act on behalf of the assignee ignature  Cate 12 20 06					22252				
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City State Zip  Country  Tetephone Email  Charles Schwab & Co., Inc. 101 Montgomery St. San Francisco, CA 94104  A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be led in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of he practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.  SIGNATURE of Assignee of Record  The individual whose signature and title is supplied below is authorized to act on behalf of the assignee lignature  Vulsuf Cassim  Tetephone  Tetephone  Tetephone  Tetephone  Tetephone  Tetephone  Tetephone  Tetephone									
City State Zip  Country  Telephone Email  Charles Schwab & Co., Inc. 101 Montgomery St. San Francisco, CA 94104  A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be lied in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.  SIGNATURE of Assignee of Record  The individual whose signature and title is supplied below is authorized to act on behalf of the assignee lignature  Oate 12 20 06  Telephone Up 5 25-34-99	11 1								
Country Telephone  Email  Charles Schwab & Co., Inc. 101 Montgomery St. San Francisco, CA 94104  A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be lied in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.  SIGNATURE of Assignee of Record The individual whose signature and title is supplied below is authorized to act on behalf of the assignee lignature  Pate 12 20 06  Telephone US B36-34-99	Addres	is							
Charles Schwab & Co., Inc. 101 Montgomery St. San Francisco, CA 94104  A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be lied in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.  SIGNATURE of Assignee of Record The individual whose signature and title is supplied below is authorized to act on behalf of the assignee signature.  Oate 12 20 06  Telephone 146 636-3499	City			State		Zip			
Charles Schwab & Co., Inc. 101 Montgomery St. San Francisco, CA 94104  A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be lied in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.  SIGNATURE of Assignee of Record  The individual whose signature and title is supplied below is authorized to act on behalf of the assignee signature.  Date 12 20 06  Telephone 15 56 34 99	Country								
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The individual whose signature and title is supplied below is authorized to act on behalf of the assignee  ignature  Date 12 20 06  Telephone 45 636-3499	and must Identify the application in which this Power of Attorney is to be filed.								
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lame Yusuf Cassim Telephone 415 636-3499	Signature	1				Date 1,2	20	06	
	Name Yusuf Cassim				Telephone	1			
	Title							1220 2111	

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PTQ/\$8/98 (12-05)

	Attorney Docket No. 020425-106510U
STATEME	ENT UNDER 37 CFR 3.73(b)
Applicant/Patent Owner: Charles Schwab & Co., I	nc.
Application No /Patent No /Control No.: 7,016,873	Filed/Issue Date: <u>March 21, 2006</u>
Entitled: SYSTEM AND METHOD FOR TAX SEN	SITIVE PORTFOLIO OPTIMIZATION
Charles Schwab & Co., Inc.	, a <u>corporation</u> (Type of Assignee: corporation, partnership, university, government agency, etc.)
(Name of Assignee) states that it is:  1.  the assignee of the entire right, title, and in 2.  an assignee of less than the entire right, til	nterest; or tie and interest.
(The extent (by percentage) of its ownersh In the patent application/patent identified above by vi	
An assignment from the Inventor(s) of the pate in the United States Patent and Trademark Of original assignment is attached.	ent application/patent identified above. The assignment was recorded ffice at Reel <u>011066</u> , Frame <u>0875</u> , or a true copy of the application/patent identified above, to the current assignee as follows:
1: From:	
The document was recorded in the Unit	ted States Patent and Trademark Office at, or for which a copy thereof is attached.
2. From:	To :
	ted States Patent and Trademark Office at, or for which a copy thereof is attached.
3. From:	
	ted States Patent and Trademark Office at, or for which a copy thereof is attached.
Additional documents in the chain of title a  As required by 37 CFR 3.73(b)(1)(i), the documenta  assignee was, or concurrently is being, submitted to the concurrent of title and the concurrent of the concurren	are listed on a supplemental sheet.  By evidence of the chain of title from the original owner to the
The undersigned (whose title is surplied below) is au	thorized to act on behalf of the assignee.
Signature	Date
Patrick R. Jewik	415-576-0200
Printed or Typed Name	Telephone Number
Attorney for Patent Hold	er
Title	

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